

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

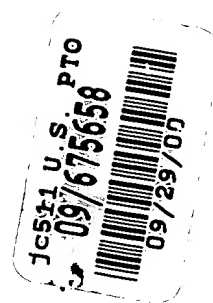
Assistant Commissioner for Patent  
Washington, D.C. 20231

Atty. Dkt.: 3642-2

Sir:



Date: September 29, 2000



Attached for filing is the patent application of:

Inventor: WEINBERGER

Entitled: **MUTUAL FUND ANALYSIS METHOD AND SYSTEM**

and including attachments as noted below:

- ☒ Declaration, ☒ Abstract  
23 pages of specification and claims (including 20 numbered claims), and  
4 sheets of accompanying drawing/s.  
☒ Record & return the attached assignment to the undersigned.  
☐ Priority is hereby claimed under 35 USC 119 based on the following foreign applications, the entire content of which is hereby incorporated by reference in this application:

| Application Number | Country | Day/Month/Year Filed |
|--------------------|---------|----------------------|
|--------------------|---------|----------------------|

, respectively.

- ☐ Certified copy(ies) of foreign application(s) is/are attached.  
☐ Please amend the specification by inserting before the first line --This is a of PCT application, filed, the entire content of which is hereby incorporated by reference in this application.--  
☐ Priority is hereby claimed under 35 USC 120/365 based on the following prior PCT applications designating the U.S., the entire content of which is hereby incorporated by reference in this application:

| Application Number | Country | Day/Month/Year Filed |
|--------------------|---------|----------------------|
|--------------------|---------|----------------------|

- ☒ This application is based on the following prior provisional application(s):

| Application No. | Filing Date       |
|-----------------|-------------------|
| 60/156,886      | 30 September 1999 |

respectively, the entire content of which is hereby incorporated by reference in this application, and priority is hereby claimed therefrom.

- ☒ Please amend the specification by inserting before the first line: -- This application claims the benefit of U.S. Provisional Application No. 60/156,886, filed September 30, 1999, the entire content of which is hereby incorporated by reference in this application. --

- ☒ Two (2) Verified Statements attached establishing "small entity" status (Rules 9 & 27)

☒ The Examiner's attention is directed to the prior art cited in the parent application by applicant and/or Examiner for the reasons stated therein.

☒ Preliminary amendment to claims (attached hereto), to be entered before calculation of the fee below.

☒ Also attached: **Exclusive Substitute Power of Attorney by Assignee with copy of Assignment attached**

**FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY HEREWITH CANCELED**

|  |                           |                           |           |
|--|---------------------------|---------------------------|-----------|
| Basic Filing Fee   |                           | \$                        | 690.00    |
| Total effective claims   | 20 - 20 (at least 20) = 0 | x \$ 18.00                | \$ 0.00   |
| Independent claims   | 3 - 3 (at least 3) = 0    | x \$ 78.00                | \$ 0.00   |
| If any proper multiple dependent claims now added for first time, add \$260.00 (ignore improper) |                           |                           | \$ 0.00   |
|  |                           | <b>SUBTOTAL</b>           | \$ 690.00 |
| If "small entity," then enter half (1/2) of subtotal and subtract                                |                           | -\$                       | 345.00    |
|  |                           | <b>SECOND SUBTOTAL</b>    | \$ 345.00 |
| Assignment Recording Fee (\$40.00)   |                           | \$                        | 40.00     |
|  |                           | <b>TOTAL FEE ENCLOSED</b> | \$ 385.00 |

Any future submission requiring an extension of time is hereby stated to include a petition for such time extension.

The Commissioner is hereby authorized to charge any deficiency in the fee(s) filed, or asserted to be filed, or which should have been filed herewith (or with any paper hereafter filed in this application by this firm) to our **Account No. 14-1140**. A duplicate copy of this sheet is attached.

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AMK:jl

**NIXON & VANDERHYTE P.C.**  
By Atty: Alan M. Kagen, Reg. No. 36,178

Signature: Alan M. Kagen

Applicant or Patentee:

V. BERGER

ney's. Dkt. No. 3642-2

Serial or Patent No.:

To Be Assigned

Filed or Issued:

Concurrently Herewith

For:

MUTUAL FUND ANALYSIS METHOD AND SYSTEM

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS [37 19(f) and 1.27(c)] - INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Section 41 (a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled:

**MUTUAL FUND ANALYSIS METHOD AND SYSTEM**

described in

- ☒ the specification filed herewith.  
☐ application Serial No. To Be Assigned, filed Concurrently Herewith  
☐ patent No. \_\_\_\_\_, issued \_\_\_\_\_

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☐ no such person, concern, or organization  
☒ persons, concerns or organizations listed below\*

NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Name G\*G\*S Systems, LLCAddress 2241 Cedar Cove Court, Reston, Virginia 20191-4100

☐ Individual ☒ Small Business Concern ☐ Nonprofit Organization

Name \_\_\_\_\_

Address \_\_\_\_\_

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

Name \_\_\_\_\_

Address \_\_\_\_\_

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application of patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR 1.28(b)]

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Alan L. Weinberger

NAME OF INVENTOR

NAME OF INVENTOR

NAME OF INVENTOR

*Alan L. Weinberger*  
 Signature

Signature

Signature

9-27-2000

DATE

DATE

DATE

Applicant or Patentee: WEINBERGER Attorney's Dkt. No. 3642-2  
 Serial or Patent No.: To Be Assigned  
 Filed or Issued: Concurrently Herewith  
 For: MUTUAL FUND ANALYSIS METHOD AND SYSTEM  
VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS [37 19(f) and 1.27(c)] - SMALL BUSINESS CONCERN

I hereby declare that I am



the owner of the small business concern identified below:

an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN G\*G\*S Systems, LLC

ADDRESS OF CONCERN 2241 Cedar Cove Court, Reston, Virginia 20191-4100

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled:

### MUTUAL FUND ANALYSIS METHOD AND SYSTEM

by inventors WEINBERGER described in

☒ the specification filed herewith.

☐ application Serial No. \_\_\_\_\_, filed \_\_\_\_\_

☐ patent No. \_\_\_\_\_, issued \_\_\_\_\_

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor who could not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27)

Name \_\_\_\_\_

Address \_\_\_\_\_

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

Name \_\_\_\_\_

Address \_\_\_\_\_

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application of patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR 1.28(b)]

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Alan L. Weinberger  
 TITLE OF PERSON OTHER THAN OWNER President and CEO  
 ADDRESS OF PERSON SIGNING 2241 Cedar Cove Court, Reston, Virginia 20191-4100  
 SIGNATURE Alan L. Weinberger DATE 9-27-2000